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11-6-01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : HAUSMAN, Andrew

App. No. 09/839,529

Examiner: Not yet assign.

Filed 20 April 2001

Group Art Unit: Not yet assign

Title PRICE CHANGE OF ORDERS FROM RESERVE IN  
ELECTRONIC TRADING SYSTEM



Assistant Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

The applicants respectfully submit herewith an Information Disclosure Statement (IDS), an Information Disclosure Citation List, and a copy of each document listed therein, pursuant to 37 C.F.R. §§ 1.97 and 1.98. The Examiner is requested to consider the enclosed documents, make them of record, and indicate his or her consideration of the documents by initialing the enclosed Citation List adjacent the citation of each document. Please return a copy of the initialed Citation form to the applicant's undersigned Attorney.

**I. (x) This IDS is being filed under 37 CFR 1.97(b). Thus, no fee is due.**

( ) This IDS is being filed within three months of the filing date of a national application other than a continued prosecution application (CPA).

( ) This IDS is being filed within three months of the date of entry of the national stage in an international application.

(x) This IDS is being filed before the mailing date of a first Office Action on the merits.

( ) This IDS is being filed before the mailing of a first Office Action after the filing of a request for continued examination (RCE).

**II. ( ) This IDS is being filed under 37 CFR 1.97(c)**

This IDS is being filed after the period specified in 37 CFR 1.97(b), but before the mailing date of either a final action, a notice of allowance, or an action that otherwise closes prosecution in the application, and is accompanied by one of:

- ( ) a statement as specified in 37 CFR 1.97(e), or
- ( ) the fee set forth in 37 CFR 1.17(p).

**III. ( ) This IDS is being filed under 37 CFR 1.97(d)**

This IDS is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee, and is accompanied by:

- a statement as specified in 37 CFR 1.97(e), and
- the fee set forth in 37 CFR 1.17(p).

**Statement under 37 CFR 1.97(e)(2)**

No item of information contained in the IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification/statement after making reasonable inquiry, no item of information contained in the IDS was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the IDS.

**IV. ( ) For the document or documents that are not in the English language:**

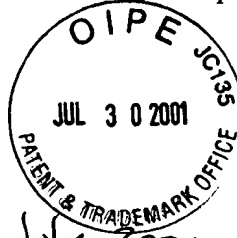
- ( ) a partial/full English language translation is provided.
- ( ) a concise explanation of the relevance is provided by the enclosed English language abstract.

( ) the document or documents were cited in a search report or other action by a foreign patent office in a counterpart foreign application, and a concise explanation of the relevance is provided by the enclosed report or action which indicates the degree of relevance found by the foreign office.

**V. For each cited pending U.S. application, enclosed are: the application specification,**


including the claims, and any drawing of the application, or that portion of the application which caused it to be listed including any claims directed to that portion

The Commissioner is hereby authorized to charge the fee of \$ .00, and to charge any deficiency, or to credit any overpayment, to the undersigned attorney's Deposit Account No. 02-4270.




Dated: 26 July 2001

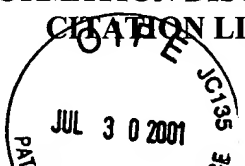
Respectfully submitted,

  
Matthew J. Marquardt  
Reg. No. 40,997  
Attorney for Applicant  
BROWN RAYSMAN MILLSTEIN  
FELDER & STEINER LLP  
900 Third Avenue  
New York, New York 10022  
(212) 895-2000

I hereby certify that this paper is being deposited this date with the U.S. Postal Service as  
First Class Mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

  
Matthew J. Marquardt

26 July 2001  
Date

<b>INFORMATION DISCLOSURE CITATION LIST</b> 	<b>Atty. Docket No.:</b> 3524/33	<b>Application Serial No.:</b> 09/839,529
	<b>Applicant:</b> HAUSMAN, Andrew	
	<b>Filing Date:</b> 20 April 2001	<b>Group Art Unit:</b>

## U.S. PATENT DOCUMENTS

Exam. Init	Document Number	Date	Name	Class	Subclass
	5,905,975	5/18/1999	Asubel	705	37
	6,061,691	5/9/2000	Fox	707	104

## FOREIGN PATENT DOCUMENTS

Exam. Init.	Document Number	Date	Country	Class	Translation

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)


Examiner:	Date Considered:
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